

PATENT

(Practitioner's Docket No. IN-9514)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

David L. ABUNDIS et al.

US Serial No. Herewith

Filed: October 27, 2003

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: METHOD OF MAKING A PAPER COATING USING A BLEND OF A  
VINYL AROMATIC-ACRYLIC POLYMER DISPERSION WITH A  
VINYL AROMATIC-DIENE POLYMER DISPERSION

Commissioner for Patents

P.O. Box 1450

Alexandria, Virginia 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

- Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

COPIES PROVIDED:

Legible copies of all items listed on Form PTO-1449 accompany this information statement, except as indicated below:

Legible copies of all items listed on Form PTO-1449 accompany this information statement, except Copies of U.S. patents, patent applications, and publications as indicated below:

Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [ ] , filed on [ ]. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

In accordance with 37 C.F.R. §1.98(c), a copy of only [ ] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

Information Disclosure Statement  
Page 2

Application Serial No. [ ] was published as Publication No. [ ]. The Bibliographic information for this publication is correct, but the abstract, specification, and claims are not those of [ ]. Therefore, the bibliographic page for Publication No. [ ] is provided with a copy of the specification as filed for [ ].

**FOREIGN LANGUAGE DOCUMENTS**

- There are no foreign language documents listed on Form PTO-1449.
- The following non-English language references were cited in the specification. The English language equivalents for these references are being submitted in substitution for the non-English references.
- English language abstract for the following non-English references are enclosed.

English Language Abstract from EPO for EP600801, 1994-06-08.

Derwent Accession No. 1986-115663, English language abstract for JP61055289, 1986-03-19.  
Derwent Accession No. 1988-365296, English language abstract for JP63275791, 1988-11-14.  
Derwent Accession No. 1989-312514, English language abstract for JP01229894, 1989-09-13.  
Derwent Accession No. 1990-243088, English language abstract for JP02169800, 1990-06-29.  
Derwent Accession No. 1993-278838, English language abstract for JP05195493, 1993-08-03.  
Derwent Accession No. 1994-186730, English language abstract for JP06123100, 1994-05-06.  
Derwent Accession No. 1994-222109, English language abstract for JP06157821, 1994-06-07.  
Derwent Accession No. 1997-122887, English language abstract for JP090005931, 1997-01-10.  
Derwent Accession No. 2000-313103, English language abstract for JP2000095995, 2000-04-04.  
Derwent Accession No. 2001-276215, English language abstract for JP2001040314, 2001-02-13.  
Derwent Accession No. 1995-262348, English language abstract for RU2027816, 1995-01-27.

Polymer Dispersions and Their Industrial Applications, Edited by Dieter Urban et al., Chapter 4: Applications in the Paper Industry, by Jürgen Schmidt-Thümmes et al., pp. 75-101, Wiley-VCH, 2002

- Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:

FORM PTO-1449 (MODIFIED)	US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Atty. Docket No. IN-9514
<b>LIST OF ART CITED BY APPLICANT</b> (Use sever of sheets if necessary)		In re Application of: David Abundis et al.
		Serial No.:
		Filed: , 2003

U.S. PATENT DOCUMENTS							
Examiner initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	3,821,267	10-25-66	Rice			11-13-61
	AB	4,064,304	12-20-77	Fujita et al.			07-14-76
	AC	4,092,457	05-30-78	Fujita et al.			02-18-76
	AD	4,209,562	06-24-80	Suwala et al.			06-21-78
	AE	4,245,689	01-20-81	Grard et al.			05-02-78
	AF	4,503,184	03-05-85	Marongiu			07-07-83
	AG	4,567,099	01-28-86	Van Gilder et al.			12-21-84
	AH	4,686,260	08-11-87	Lindemann et al.			11-25-86
	AI	5,268,419	12-07-93	Stack et al.			10-31-89
	AJ	5,283,129	02-01-94	Renk et al.			10-21-92
	AK	5,308,890	05-03-94	Snyder			02-26-93
	AL	5,500,191	03-19-96	DeMatte			02-03-95
	AM	5,543,455	08-06-96	Shah			03-15-95
	AN	5,563,201	10-08-96	Joanicot et al.			08-18-94
	AO	5,656,685	08-12-97	Satgurunathan et al.			10-21-94
	AP	5,770,303	06-23-98	Weinert et al.			01-05-96
	AQ	5,824,748	10-20-98	Kesti et al.			06-03-96
	AR	5,846,381	12-08-98	Wirth et al.			03-29-96
	AS	5,931,354	08-03-99	Braud et al.			10-14-98
	AT	5,962,579	10-05-99	Schulz et al.			08-21-98
	AU	6,171,702	01-09-01	Malhotra et al.			07-17-98
	AV	6,194,064	02-27-01	Keely et al.			12-03-97
	AW	6,451,899	09-17-02	Zhao et al.			11-20-00
	AX	6,451,900	09-17-02	Kuehn et al.			08-10-00
	AY	2001/0023738	09-27-01	Vaidya			02-22-01
	AZ	2002/0061981	05-23-02	Donald et al.			08-31-01
	BA	2002/0061982	05-23-02	Donald et al.			08-31-01
	BB	2002/0146552	10-10-02	Mumick et al.			02-01-01
	BC	2002/0169250	11-14-02	Ishihara			02-28-02
	BD	2002/0185239	12-12-02	Kimpimaki et al.			01-08-02
	BE	2003/0195297	10-16-03	Burghart et al.			12-13-01

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\*Applicant has modified this form by deleting the word "prior".

FORM PTO-1449 (MODIFIED)	US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Atty. Docket No. IN-9514
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FOREIGN PATENT DOCUMENTS							
Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES
	AA	CA984988	02.03.76	Canada			
	AB	EP600801	13.03.97	Europe	D21H	19/58	X
	AC	EP952483	27.10.99	Europe	G03C	1/79	
	AD	EP1010807	21.06.00	Europe	D21H	23/22	
	AE	GB1174274	17.12.69	United Kingdom	C08F	37/18	
	AF	JP57191392	25.11.82	Japan	D21H	1/28	X
	AG	JP61055289	19.03.86	Japan	D21H	1/28	X
	AH	JP63275791	14.11.88	Japan	D21H	1/22	X
	AI	JP01229894	13.9.89	Japan	D21H	1/28	X
	AJ	JP02169800	29.06.90	Japan	D21H	19/56	X
	AK	JP05195493	03.08.93	Japan	D21H	19/44	X
	AL	JP06123100	06.05.94	Japan	D21H	27/00	X
	AM	JP06157821	07.06.94	Japan	CORL	1/08	X
	AN	JP09005931	10.01.97	Japan	G03C	1/91	X
	AO	JP2000095995	04.04.00	Japan	GC9D	133/06	X
	AP	JP2001040314	13.02.01	Japan	C09J	133/08	X
	AQ	WO9832920	30.07.98	PCT	D21H	21/16	
	AR	WO0104416	18.01.01	PCT	D21H	19/36	
	AS	WO0107529	01.02.01	PCT	CO9G	1/04	
	AT	WO02083785	24.10.02	PCT	CO8L	9/06	
<b>OTHER ART</b> (Including Author, Title, Date, Pertinent Pages, Etc.)							
	AU	English Language Abstract from EPO for EP600801, 1994-06-08..					
	AV	Derwent Accession No. 1986-115663, English language abstract for JP61055289, 1986-03-19.					
	AW	Derwent Accession No. 1988-365296, English language abstract for JP63275791, 1988-11-14.					
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	BA	Derwent Accession No. 1994-186730, English language abstract for JP06123100, 1994-05-06.					
	BB	Derwent Accession No. 1994-222109, English language abstract for JP06157821, 1994-06-07.					
	BC	Derwent Accession No. 1997-122887, English language abstract for JP09005931, 1997-01-10.					
	BD	Derwent Accession No. 2000-313103, English language abstract for JP2000095995, 2000-04-04.					
	BE	Derwent Accession No. 2001-276215, English language abstract for JP2001040314, 2001-02-13.					
	BF	Derwent Accession No. 1995-262348, English language abstract for RU2027816, 1995-01-27.					
	BG	Polymer Dispersions and Their Industrial Applications, Edited by Dieter Urban et al., Chapter 4: Applications in the Paper Industry, by Jürgen Schmidt-Thümmes et al., pp. 75-101, Wiley-VCH, 2002					
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\*Applicant has modified this form by deleting the word "prior".

Information Disclosure Statement  
Page 3

- No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:
- Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.
- A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:
- A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

**CERTIFICATION:**

- The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.
- The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:
  - Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); OR
  - That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); OR
  - Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the \$180.00 IDS submission fee to BASF Corporation Deposit Account No. 23-3425. A duplicate of this paper is enclosed.
- The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:

Information Disclosure Statement  
Page 4

- Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
- That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**
- Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of \$130.00 to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation Deposit Account No. 23-3425 for any additional fees due hereunder.

Reg. No.: **42,906**

  
**SIGNATURE OF ATTORNEY and DATE**

**Michael F. Morgan      October 27, 2003**  
Type or print name of attorney

Tel. No.: **( 248 ) 948-2355**

**BASF Corporation**  
**26701 Telegraph Road**  
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**Southfield, Michigan 48034-2442**

**Customer No. 26922**

**PATENT**

(Practitioner's Docket No. IN-9514)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

David L. ABUNDIS et al.

US Serial No. Herewith

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For: METHOD OF MAKING A PAPER COATING USING A BLEND OF A  
VINYL AROMATIC-ACRYLIC POLYMER DISPERSION WITH A  
VINYL AROMATIC-DIENE POLYMER DISPERSION

**Commissioner for Patents**  
PO Box 1450  
Alexandria, VA 22313-1450

**EXPRESS MAIL CERTIFICATE**

"Express Mail" label number

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Date of Deposit

October 27, 2003

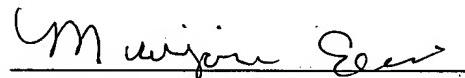
I hereby certify that the following attached paper or fee

<input checked="" type="checkbox"/>	Information Disclosure Statement
<input checked="" type="checkbox"/>	Form PTO-1449
<input checked="" type="checkbox"/>	Cited Reference(s) except for US Patents

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Commissioner for Patents, P.O. BOX 1450, Alexandria, Virginia 22313-1450.

Marjorie Ellis

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Signature of person mailing paper or fee)

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complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.